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National Endowment for the Humanities

Division of Education Programs

Application Instructions and Forms

July 1989

Division of Education Programs

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July 1989

DIVISION OF EDUCATION PROGRAMS

Application Instructions and Forms

Program for Elementary and Secondary Education in the Humanities
Program for Higher Education in the Humanities

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Introduction

The NEH Division of Education Programs supports projects to improve humanities education in the nation's schools and colleges. This document contains instructions for completing a grant application. Applicants should use these instructions in tandem with the Division of Education Programs Guidelines, a separate publication that describes the types of projects the division supports and the review process employed for judging applications.

Institutions applying for grants from either the Program for Elementary and Secondary Education in the Humanities or the Program for Higher Education in the Humanities must use the forms provided in this booklet.

Individual applicants to the NEH/Reader's Digest Teacher-Scholar Program must use the forms provided in that program's guidelines booklet.

To request copies of the Division of Education Programs Guidelines or the Teacher-Scholar Program Guidelines, prospective applicants should call or write the Division of Education Programs, Room 302, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506 (202/786-0373). Questions about eligibility are addressed in Section IV, below.

I.
PRELIMINARY PROPOSAL

The first step in preparing an application is to call or write a division program officer to discuss the general eligibility of a proposal. The next step is to submit a three- to five-page project outline or prospectus. Once a staff member has responded to the prospectus, a full draft proposal should be prepared and submitted as far in advance of the application deadline as possible. Program officers will offer advice regarding a proposed project's content, eligibility, completeness, and competitiveness. While this consultation is not part of the formal review process, experience has shown that proposals benefit greatly from preliminary staff review. Competitive proposals normally reflect the ideas, plans, commitment, and prose of the humanities teachers and scholars who will actually carry out the grant activities.

II.
THE APPLICATION

Applications to the Division of Education Programs vary considerably in length and degree of complexity. In all cases, however, a complete application consists of six parts: a completed NEH Application Cover Sheet, a table of contents, a one-page summary of the proposed project a detailed narrative describing the proposed project, a project budget, and appendices.

In preparing an application, follow these general directions:

- o type (double-space) the application on white 8 1/2" x 11" paper,
- o number the pages consecutively,
- o label the appendices and clearly reference them in the narrative, and
- o bind the application on the left side.

Application Cover Sheet

See the instructions for preparing the NEH Application Cover Sheet on page 8.

Table of Contents

List all sections, including appendices.

One-Page Summary

Briefly summarize the narrative (see below). This summary may be typed single-spaced.

Narrative Description of the Project

The narrative is an extended discussion of the project, its intellectual content, its activities, and its intended audience. It is the focal point of attention at every stage of the review process. The narrative should not exceed twenty pages for institutes, conferences, projects in individual institutions, and collaborative projects or twelve pages for masterwork study grants and planning grants. To be competitive, a proposal should address the items listed below:

Rationale

Explain how the project will improve the quality of humanities instruction. An intellectual rationale must be clearly articulated. The intended beneficiaries of the project should also be identified. If the impact of a project will be confined to a single institution, or to several institutions that are clearly specified, relate the intellectual purpose to the mission and curricular history of the institution(s) in question.

Content and Activities

Provide details about the texts, topics, and issues to be studied and an argument for the order in which they are to be considered. Include a work plan of activities. Specify when each activity would take place and what themes, methods, and formats would be employed to approach the materials. A bibliography and a day-by-day syllabus should be included.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: Describe the existing curriculum in the "Institutional Context" section mentioned below. Any proposed curricular changes should be described here. For planning grants, present a detailed schedule for reading and discussing texts, topics, and issues related to the proposed curricular improvements. If the project's aim is to develop or improve courses, include syllabi of both the proposed courses and the courses they would replace and an account of how these courses relate to the rest of the curriculum. Pertinent bibliographies, explanations of teaching approaches, and student writing requirements should also be included. If the project proposes faculty study in support of an existing curriculum, describe that curriculum and state explicitly that new courses are not being proposed.

Project Staff

Identify those who will conduct and administer the project, define their roles, and state their qualifications for undertaking the specific responsibilities assigned to them.

For institutes, collaboratives, conferences, and masterwork study projects, full resumes for and expressions of commitment from those leading the project should be included. If visiting scholars will be making contributions to the project, identify these contributors, explain their appropriateness to the project, and include letters of commitment.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: A one-page resume for each member of the project staff should be included in an appendix. Do not include full resumes. Where pertinent, describe the nature of the commitment and duties of advisory board members.

Institutional Context

Where relevant, describe how the project relates to the institution in which it will take place. Show how the resources of the host institution support the project, and describe any previous efforts to address the issues and objectives of the proposed undertaking. Cite relevant library, archival, and museum collections. Discuss residential facilities and any other resources that would help foster an appropriate sense of intellectual community.

If the proposal is for a renewal of a previously funded project, include a detailed evaluation of the initial project in an appendix. Explain how the second grant would augment the first by adding a new dimension or reaching a new audience.

If more than a single institution is involved, describe any collaboration that has already taken place to achieve similar goals.

FOR HIGHER EDUCATION INSTITUTIONAL PROJECTS: Summarize the institution's mission, student body, and existing humanities curriculum. If the institution has received previous funding from the Endowment to undertake work related to that proposed in this application, describe that work.

FOR ELEMENTARY AND SECONDARY EDUCATION COLLABORATIVE PROJECTS: Applications for collaborative projects submitted to the Program for Elementary and Secondary Education in the Humanities should include letters of commitment from local school officials and teachers in an appendix.

Evaluation and Follow-up

Indicate how participants and outside evaluators will assess the project. In an appendix, identify evaluators and include letters that demonstrate their willingness to serve. Where pertinent, describe in detail how the institution would continue the project once funding ends. Follow-up and dissemination activities are particularly important for elementary and secondary education projects. These activities may include workshops, in-service presentations, newsletters, curricular projects, and conference presentations.

Appendices

Use appendices to provide supplementary but essential materials, such as course syllabi, bibliographies, schedules of activities, resumes, and letters of commitment from consultants and other contributors. Appendices should include relevant and concisely-presented information only. Each appendix should be identified clearly and listed in the Table of Contents. At

appropriate places in the proposal narrative, references should be made to items included in the appendices. For higher education institutional projects, one copy of the institution's current college catalogue should be submitted.

National Endowment for the Humanities

Washington, D.C.

The following pages include:

—Instructions for Completing the Application Cover Sheet
—The Application Cover Sheet
—Field of Project Categories and Codes

Please read the instructions before completing applicable questions. Please print or type.

Purpose: The National Endowment for the Humanities uses a single cover sheet for all of its programs. This cover sheet gathers information that is necessary in one of two ways:

(1) The information is necessary for efficient consideration of the application during the review process and in the administration of the grant if an award is made.

(2) The information is *required of the Endowment* in various reports to Congress, other federal agencies, and the public. The Endowment must provide reports that involve statistical information or descriptions that can be obtained quickly from the cover sheet. Information is recorded in a computer, which stores the data for subsequent compilation and reporting.

Please read the instructions for each question carefully. Answer each question by typing or printing your reply. Please verify your answers to be certain that they are correct and complete.

You will find it helpful to complete the cover sheet last, after all other parts of the application have been prepared.

Privacy Act: The following notice is furnished in compliance with the Privacy Act of 1974:

The information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. This information is needed to process the grant application and for statistical research and analysis of trends. The routine uses which may be made of this information are: general administration of the grant review process; statistical summaries; congressional oversight; and analysis of trends. Failure to provide any of the requested information will result in the delay or rejection of the application.

Instructions for Completing the Application Cover Sheet

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this form is 10 hours per response. This estimate includes the time for reviewing instructions; researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Assistant Chairman for Administration, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0059), Washington, D.C. 20503.

Block 1--Individual applicant or project director

Item a. Enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution also is requested in Blocks 2, 11, and 12.)

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

1-Mr.	3-Miss	5-Prof.
2-Mrs.	4-Ms.	6-Dr.

Item c. Enter the project director's social security number and date of birth.

Item d. Enter the project director's full telephone number with area code and extension. Whenever possible, specify a telephone number at which a message can be left.

Item e. If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the Application Cover Sheet.

Block 2--Type of applicant

Check (b)

Identify Type of institution--for example, religious organization, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational institution (elementary/secondary, school district, two-year college, four-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.).

Identify Status as either Private Nonprofit or Unit of State or Local Government. Example: Type: Historical Society. Status: Private Nonprofit.

Block 3--Type of application

Check appropriate type:

Item a. New--application for this project submitted to NEH for the first time.

Item b. Revision and Resubmission--a version of the application for this project was submitted to NEH previously but not funded.

Item c. Renewal--application for funding a new grant period for a project previously funded by NEH.

Item d. Supplement--application for additional funding to a current NEH grant.

Block 4--Program to which application is being made

In the space provided, enter either Elementary and Secondary Education or Higher Education. Do not fill in the box on the right.

If the application falls under one of the Endowment's initiatives described in Section VIII of the division guidelines, indicate the number corresponding to the initiative in the space provided:

03C--The Foundations of American Society
03M--Columbian Quincentenary

Block 5--Requested grant period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period. See Section VI for further information about grant periods.

Block 6--Project funding

Enter here the appropriate figures from the Project Budget. Fill in lines (a) through (e); enter "0" for blank lines.

Block 7--Field of project

See the listing on the reverse side of the cover sheet for the category and code of the specific humanities field that best describes the content of the project.

Block 8--Descriptive title of project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title to the project.

Block 9--Description of project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10--Will this proposal be submitted to another government agency or private entity for funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Block 11--Institutional data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and the telephone number of the person who will be responsible for the financial administration of the grant if the award is made. For example, at many universities the provost, vice president, president, or chancellor is the person "authorized" to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12--Certification

The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution is providing the applicable certifications. Please refer to the "Certifications" and the accompanying instructions in the appendix to these application guidelines.

NEH APPLICATION COVER SHEET

OMB No. 3136-0059
Expires 6/30/92

1. Individual applicant or project director

a. Name and mailing address

Name _____
(last) (first) (initial)

Address _____

_____

_____
(city) (state) (zip code)

b. Form of address: ☐

c. Social Security # _____ Date of birth _____
(mo. day yr.)

d. Telephone number
Office: _____ / _____ Home: _____
(area code) (area code)

e. Major field of applicant or project director _____ ☐
(code)

f. Citizenship ☐ U.S.
☐ Other _____
(specify)

2. Type of applicant

a. ☐ by an individual b. ☐ through an org./institution
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:
c. Type
d. Status

3. Type of application

a. ☐ new c. ☐ renewal
b. ☐ revision and resubmission d. ☐ supplement
If either **c** or **d**, indicate previous grant number:

_____

4. Program to which application is being made ☐

_____

Endowment Initiatives _____
(code)

5. Requested grant period

From: _____ To: _____
(month, year) (month, year)

6. Project funding

a. Outright funds $ _____
b. Federal match $ _____
c. Total from NEH $ _____
d. Cost sharing $ _____
e. Total project costs $ _____

7. Field of project ☐

8. Descriptive title of project

9. Description of project (do not exceed space provided)

10. Will this proposal be submitted to another government agency or private entity for funding?
(if yes, indicate where and when):

11. Institutional data

a. Institution or organization:

_____
(name)

_____
(city) (state)

b. Employer identification number _____

c. Name of authorizing official:

_____
(last) (first) (initial)

_____
(title)

d. Name and mailing address of institutional grant administrator:

_____
(last) (first) (initial)

_____

_____

_____
(city) (state) (zip code)

Telephone: _____ Form of address ☐
(area code)

12. Certification

By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (Block 11c) is providing the applicable certifications regarding the nondiscrimination statutes, federal debt status, debarment and suspension, and a drug-free workplace, as set forth in the appendix to these application guidelines.

_____ _____
(signature) (date)

Note: Federal law provides criminal penalties of up to $10,000 or imprisonment of up to five years, or both, for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

For NEH use only
Date received
Application #
Initials

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and *is not meant to define the disciplines of the humanities.* For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.

Anthropology L1

Archaeology U6

Archival Management/Conservation I1

Arts, History and Criticism MA

Architecture: History & Criticism U3
Art: History and Criticism M1
Dance: History & Criticism M3
Film: History & Criticism M4
Music: History & Criticism M5
Theater: History & Criticism M2

Communications P2

Composition & Rhetoric P1
Journalism P4
Media P3

Education H1

Ethnic Studies K1

Asian American K5
Black/Afro-American K4
Hispanic American K3
Jewish K6
Native American K2

History A1

African A2
American A3
Ancient AC
British A4
Classical A5
European A6
Far Eastern A7
Latin American A8
Near Eastern A9
Russian AA
South Asian AB

Humanities U8

Interdisciplinary U1

African Studies GI
American Studies G3
Area Studies GH
Asian Studies G5
Classics G7
Folklore/Folklife R1
History/Philosophy of Science, Technology or Medicine GA
International Studies GG
Labor Studies G4
Latin American Studies GJ
Medieval Studies G8
Regional Studies GF
Renaissance Studies G9
Rural Studies GC
Urban Studies G2
Western Civilization GB
Women's Studies G1

Languages C1

Ancient CC
Asian CA
Classical C2
Comparative C9
English CE
French C3
German C4
Italian C5
Latin American C6
Near Eastern CB
Slavic C7
Spanish C8

Law/Jurisprudence Q1

Library Science H3

Linguistics J1

Literature D1

African DK
American DE
Ancient DC
Asian DA
British DD
Classical D2
Comparative D9
French D3
German D4
Latin American D6
Literary Criticism DI
Near Eastern DB
Slavic D7
Spanish D8

Museum Studies/Historic Preservation I2

Philosophy B1

Aesthetics B2
Epistemology B3
Ethics B4
History of Philosophy B5
Logic B6
Metaphysics B7
Non-Western Philosophy B8

Religion E1

Comparative Religion E5
History of Religion E2
Non-Western Religion E4
Philosophy of Religion E3

Social Science U2

American Government F2
Economics N1
Geography U7
International Relations F3
Political Science F1
Psychology U5
Public Administration F4
Sociology S1

BUDGET INSTRUCTIONS

The project budget must appear on the NEH Budget Form and must be prepared in accordance with the budget instructions. Before completing the Budget Form, review the information in Section VI that pertains to the types of funds available, cost-sharing expectations, grant period definition, grantee responsibilities, and eligible gifts and donors. If you have questions after reading the Division of Education Programs Guidelines or the budget instructions, please contact a division program officer.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period. For grant periods of longer than eighteen months, separate budgets for each twelve-month period of the project must be submitted.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Salaries and Wages

Only project personnel employed by the institution should be included in this budget category. List consultants and participants not employed by the applicant institution in sections 3 and 7, respectively. Faculty participants typically receive released time from teaching one or more courses if they are involved in extensive study and joint planning activities during the academic year. Most institutions share a significant portion of released-time costs. For faculty involved in organized study and joint course planning during the summer, most institutions provide uniform stipends of approximately $500 per week. Faculty participants in summer projects are expected to devote themselves fully to the project during the time for which they are being compensated. Administrative assistance may be calculated as a percentage of salary.

Project directors may receive compensation both during the academic year and during the summer. When a project director needs released time during the academic year to carry out project activities, this expense may be charged to the project but usually would not exceed one course per quarter or semester. For activities that take place outside the academic year, compensation for project directors is usually based on a percentage of salary. For one summer month of full-time activity devoted to their projects, directors who are paid on a nine-month basis may receive one-ninth of their academic year salaries; for two months of full-time activity, two ninths. Two codirectors would each receive 60 percent of these amounts. Justification should be provided in the budget narrative (see budget section 11, below) for an unusually long or complex project that requires additional compensation.

FOR INSTITUTES: Directors of national and regional institutes for teachers and administrators and directors of institutes for college and university faculty receive compensation for the time they spend preparing for an institute and selecting the participants, directing the institute during the summer, and performing specified follow-up activities. For a six-week institute, plus a month of planning and follow-up activities, compensation would normally be two and a half-ninths of salary. For a four-week institute, plus a month of planning and follow-up activities, compensation would normally be two-ninths of salary. Compensation may be greater if projects require extensive follow-up activities or smaller if much of the work will be carried out by an administrative assistant or project coordinator. Two codirectors each receive 60 percent of the amount that would be required if the project had only one director.

Fringe Benefits

Fringe benefits should be calculated only for those individuals listed under Salaries and Wages.

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Consultant Fees

List those individuals who would contribute to the project as visiting lecturers, directors of faculty study sessions, and external evaluators. The honoraria for visiting faculty and other consultants average $250 to $350 per day, not including travel and subsistence costs. Travel and subsistence costs should be entered in budget section 4.

Travel

Travel costs and a per diem allowance for project staff, consultants, and participants should be entered in this section. Travel and subsistence expenses should be calculated in conformity with institutional policy. Less-than-first-class accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Project directors for all projects except institutes for college and university faculty will attend planning meetings at the Endowment's offices in Washington, D.C. Directors of elementary and secondary projects should budget for a one-day meeting for each year of the requested grant period. Directors of higher education institutional projects should budget for a two-day meeting for each year of the requested grant period.

Supplies and Materials

Include such items as stationery supplies, blank computer diskettes, books, films, videotapes, and educational software. All must be essential to the project. See section 12, below, on inadmissible budget items.

Services

If rental of equipment is proposed, enter it in this section of the budget form. A rental charge during the grant period should not exceed the purchase price. Large or expensive equipment rentals and purchases must be justified in the budget narrative. (See "Other Costs" below for a treatment of equipment purchases.)

Other Costs

Stipends for project participants employed by the institution that do not include fringe benefits should be listed here. Stipends for project participants not employed by the institution and not serving as consultants (see budget sections 1 and 3, respectively) should be listed here. Normally, both elementary and secondary education and higher education institutes and elementary and secondary education collaborative projects provide participants with books, travel, an allowance to be paid to the participant for room and board, and a stipend of $250 per week. The institution is required to provide an option of on-campus housing and meals appropriate to the status of institute participants as visiting scholar/teachers. All costs for participants other than travel should be itemized here. Travel costs should be entered in budget section 4.

When an applicant proposes to charge the purchase of permanent equipment to a project, this expense should be included under "Other Costs". However, the applicant must demonstrate in the budget narrative that the purchase of permanent equipment is absolutely necessary to carry out the project and will be less expensive than rental. Permanent equipment is defined as an item costing more than $500 with an estimated useful life of more than two years.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project.) Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, major subcontracts), up to a maximum charge of $5,000. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than $5,000 in indirect costs, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the applicant is approved for funding, you will be instructed to contact the NEH Audit Office to develop an indirect cost proposal.

Budget Narrative

Include with the project budget a brief narrative explaining project expenses. Clarification of salary items may be useful here. If released time from teaching duties is proposed, indicate clearly how it will be used.

Inadmissible Budget Items

The division does not ordinarily fund or accept as cost sharing (see Section VI) the following budget items: (a) travel associated with independent scholarly research; (b) the purchase of equipment, including computer hardware and noneducational software, such as word processing, statistical packages, computer languages, data base management, spreadsheet programs, graphics, etc.; (c) the development of education technologies or materials that are primarily pedagogical; or (d) costs related to purely social events.

Tuition fees are not normally charged to participants in activities for which the Endowment is supporting the costs usually covered by tuition. Credit may be awarded to participants seeking it, however, at the discretion of a college or university sponsoring an NEH-funded project. Any filing fee or tuition charged should be applied only to participants wishing to receive credit and should be fixed at the lowest rate possible.

National Endowment for the Humanities

BUDGET FORM

OMB No. 3136-0059
Expires 6/30/92

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period From _____ (mo/yr) to _____ (mo/yr)

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C. The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A — budget detail for the period from _____ (mo/yr) to _____ (mo/yr)

1. Salaries and Wages

Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[ ]	_____	$_____	$_____	$_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
_____	[ ]	_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

2. Fringe Benefits

If more than one rate is used, list each rate and salary base.

rate		salary base	(a)	(b)	(c)
_____ %	of	$_____	$_____	$_____	$_____
_____ %	of	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

3. Consultant Fees

Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	$_____	$_____	$_____	$_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
_____	_____	$_____	_____	_____	_____
		SUBTOTAL	$_____	$_____	$_____

4. Travel

For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. of persons	total travel days	subsistence costs	+ transportation costs	= **NEH Funds** (a)	**Cost Sharing** (b)	**Total** (c)
	[ ]	[ ]	$	$	$	$	$
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
	[ ]	[ ]					
				SUBTOTAL	$	$	$

5. Supplies and Materials

Include consumable supplies, materials to be used in the project, and items of expendable equipment; i.e., equipment items costing less than $500 or with an estimated useful life of less than two years.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

6. Services

Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts over $10,000, provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
		$	$	$
	SUBTOTAL	$	$	$

7. Other Costs

Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

item	basis/method of cost computation	NEH Funds (a)	Cost Sharing (b)	Total (c)
		$	$	$
	SUBTOTAL	$	$	$

8. Total Direct Costs (add subtotals of items 1 through 7) $ $ $

9. Indirect Costs [This budget item applies only to institutional applicants.]

If indirect costs are to be charged to this project, check the appropriate box below and provide the information requested. Refer to the budget instructions for explanations of these options.

☐ Current indirect cost rate(s) has/have been negotiated with a federal agency. (Complete items A and B.)

☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)

☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)

☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of $5,000. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or $5,000, whichever sum is less.)

A. _____ _____
name of federal agency date of agreement

B.

rate(s)		base(s)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____ %	of	$_____	$	$	$
_____ %	of	$_____			
		TOTAL INDIRECT COSTS	$	$	$

10. Total Project Costs (direct and indirect) for Budget Period $ $ $

SECTION B — Summary Budget and Project Funding

SUMMARY BUDGET

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: to:	Second Year/ from: to:	Third Year/ from: to:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	$	$	$ =	$
2. Fringe Benefits			=	
3. Consultant Fees			=	
4. Travel			=	
5. Supplies and Materials			=	
6. Services			=	
7. Other Costs			=	
8. **Total Direct Costs (items 1-7)**	$	$	$ =	$
9. Indirect Costs	$	$	$ =	$
10. **Total Project Costs (Direct & Indirect)**	$	$	$ =	$

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

Requested from NEH:[1]		Cost Sharing[2]	
Outright	$	Cash Contributions	$
Federal Matching	$	In-Kind Contributions	$
		Project Income	$
TOTAL NEH FUNDING	$	TOTAL COST SHARING	$

Total Project Funding (NEH Funds + Cost Sharing)[3] = $

[1]Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

[2]Indicate the amount of cash contributions that will be made by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost-sharing requirements.)

Occasionally, in-kind (noncash) contributions from third parties are included in a project budget as cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expended on budgeted project activities.

[3]Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator

Complete the information requested below when a revised budget is submitted. Block 11 of the application cover sheet instructions contains a description of the functions of the institutional grant administrator. The signature of this person indicates approval of the budget submission and the agreement of the organization to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print) Telephone ( ) area code

Signature Date

NEH Application/Grant Number:

CHECKLIST FOR A COMPLETE APPLICATION

The following documents should appear at the top of the application package:

____ The original Application Cover Sheet signed by the authorizing official

____ Four copies of the original Application Cover Sheet

____ The original NEH Budget Form

Twelve copies of the application should be assembled in this order:

____ Application Cover Sheet (copies of the signed original)

____ Table of Contents

____ One-Page Summary (may be single-spaced)

____ Narrative Description of the Project (double-spaced)

____ Project Budget (copies of the original NEH Budget Form and budget narrative)

____ Appendices

- ____ Resumes for all project personnel
- ____ Syllabi
- ____ Documentation of the commitment of key project personnel, including those not affiliated with the applicant institution (for example, visiting lecturers or outside consultants)
- ____ Other relevant material, including one copy of a current college catalogue from institutions applying for higher education institutional projects

III.
APPLICATION DEADLINES

Program	Application Deadline*	For Projects Beginning
Program for Elementary and Secondary Education in the Humanities	December 15	July
	March 15**	January
	May 15	January
NEH/Reader's Digest Teacher-Scholar Program	May 1 (postmark)	September of the next calendar year
Program for Higher Education in the Humanities	October 1	April
	April 1	October

*With the exception of the Teacher-Scholar Program, applications must be received by the date indicated. If the published deadline falls on a weekend or holiday, applications must be received by the end of the next business day. The Teacher-Scholar Program employs a postmark deadline.

**The deadline for national and regional projects to be conducted in the summer of the following year.

IV.
ELIGIBILITY

Any U.S. nonprofit organization or institution with a commitment to the improvement of humanities education may submit an application to the Division of Education Programs. The division regularly considers applications from schools, school systems, two- and four-year colleges, universities, college and university systems, libraries, museums, academic associations, and educational and cultural consortia. When two or more institutions or organizations join together in an application, one of them normally serves as the prospective grantee and administers the project on behalf of all the participating units.

Individuals may apply to the NEH/Reader's Digest Teacher-Scholar Program for Elementary and Secondary School Teachers. The Teacher-Scholar Program Guidelines are published separately and are available on request from the Endowment.

V.
EVALUATION CRITERIA

The review of applications in the Division of Education Programs (described in detail in Section VI of the guidelines) requires from five to seven months.

Endowment reviewers evaluate proposals by answering the following general questions:

1. Is the project rooted in texts and topics of central importance to the humanities and is it likely to result in better humanities instruction?

2. Is the intellectual rationale for the proposed project clear and persuasive?

3. Does the proposal include a bibliography and an academically rigorous syllabus?

4. Is the schedule of activities well-planned and feasible?

5. Are project personnel well qualified to carry out their proposed duties?

6. Do letters from visiting scholars and consultants demonstrate sufficient interest and commitment? For institutional projects, are proposed participants committed to the project?

7. Are the plans for project administration sound? Is the budget reasonable?

8. Is the level of institutional cost sharing adequate?

9. Where appropriate, does the institution possess the resources and commitment to maintain the program once it is in place?

10. Are plans for project evaluation reasonable?

11. Are follow-up activities likely to improve teaching and learning in the humanities?

VI.
TYPES OF GRANT SUPPORT

The Endowment provides three types of funding: federal matching funds, outright funds, and a combination of the two.

Matching Funds

The Endowment is authorized to match gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Endowment matching funds are awarded on an up to one-for-one basis. The purpose of matching funds is to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts. Because matching funds enable NEH to provide support to a wider range of significant but often costly projects, institutional applicants are encouraged to consider requesting complete or partial funding in the form of a matching grant. Applicants who apply for matching funds support should refer to page 31 for information on eligible gifts and donors.

Outright Funds

An outright grant is one in which the award of Endowment funds is not contingent on the applicant's raising gifts for the project.

Combined Funds

Applicants also may request a combination of outright and matching funds from the Endowment. For example, if a project will cost $85,000 and $20,000 in gifts will be raised from eligible third parties, the applicant should request $20,000 in matching funds from the Endowment. Support for the balance of project expenditures ($45,000) may be requested in outright funds.

It should be noted that, under certain circumstances, the Endowment may offer total or partial matching support to an applicant requesting only outright support.

Cost Sharing

All applicants are encouraged to participate in the support of project expenses. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Normally, the Endowment's contribution to projects funded by the Division of Education Programs will not exceed 85 percent of total project costs. For higher education institutional projects the Endowment's contribution will not normally exceed 70 percent of total project costs.

Grant Period

The grant period encompasses the entire period for which Endowment funding is requested in the current application. All project activities and the expenditure of project funds, that is, grant funds and cost-sharing contributions, must occur during the grant period.

In determining the beginning date of a proposed grant period, applicants should refer to the schedule of application deadline dates and project beginning dates on page 26 of this booklet. The maximum period for which funding may be requested in an application is 36 months.

Grantee Responsibilities

If funding is approved by the Endowment, the applicant organization will be responsible for insuring that the grant is administered in accord with the following provisions.

- The grantee must have a financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost-sharing contributions and that monitors the expenditure of these funds against the approved budget.

- All commitments and obligations of grant funds and cost-sharing contributions are to occur during the grant period.

- Project activities are to be carried out in accordance with the schedule provided in the approved application.

- Changes in the scope and objectives of the project may not be made without prior Endowment approval.

- The replacement of the project director, the codirector, or other professional staff members who are specifically named in an award notice requires prior Endowment approval.

- Adequate documentation of the time spent by all project personnel on grant activities must be maintained by the grantee.

- All procurement transactions are to be conducted in a manner that provides, to the maximum extent practical, open and free competition; for purchases in excess of $10,000, any use of sole-source contracts must be fully justified and documented.

- Unless otherwise notified in writing, grantees must acknowledge Endowment support in all materials resulting from grant activities.

- If a grantee earns income from grant activities or products that result from grant activities, the Endowment reserves the right to recover a portion of the program income.

Eligible Gifts and Donors

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with federal matching funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

Both restricted gifts (gifts that are given specifically in support of a project) and unrestricted gifts (gifts that may be used at the recipient's discretion) are eligible to be matched if the donors give the gifts directly to the applicant.

If a gift of money is given to an individual or organization associated with the project rather than directly to the applicant, that gift normally will not be deemed eligible to release federal matching funds. The only exception is if the donor has given the gift specifically in support of the project and control over the expenditure of these funds is transferred to the applicant.

Applicants should note that the following items are not eligible to be matched with federal funds: federally appropriated funds, deferred and noncash gifts, income earned from gifts after they are transferred to the applicant, and income received from any fees for participation in project activities.

Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and who will receive some sort of remuneration from project funds. To avoid any possibility of conflict of interest, a gift should not be used to release federal matching funds when there is the appearance that the donor might benefit in any way by giving a gift to a particular project.

VII.
APPENDIX

Instructions for Certification

1. The Endowment is required to seek from institutional applicants a certification regarding the nondiscrimination statutes and from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace.

2. By signing and submitting this proposal the individual applicant or the authorizing official of the applicant institution provides the applicable certifications. When a prospective applicant is unable to provide the Endowment with certification regarding the nondiscrimination statutes or a drug-free workplace, the prospective applicant is not eligible to apply for funding from the Endowment. When the applicant is unable to provide certification regarding federal debt status or debarment and suspension, the applicant shall attach an explanation to the proposal. The explanation of why the certification on federal debt status or debarment and suspension cannot be submitted will be considered in connection with the Endowment's funding determination. Failure to furnish a certification or an explanation shall disqualify such person from receiving an award from the Endowment.

3. The certification regarding the nondiscrimination statutes shall obligate the applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with Endowment assistance, this certification shall obligate the applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Endowment support, this certification shall obligate the applicant or any transferee for as long as the property or structure is used for the grant or similar purposes. This certification is binding on the applicant, its successors, transferees, and assignees, and on the authorizing official whose signature appears on the application cover sheet for this proposal.

4. The certifications are material representations of fact on which reliance will be placed when the Endowment determines to fund the application. If it is later determined that the applicant knowingly provided an erroneous certification, in addition to other remedies available to the federal government, the Endowment may seek judicial enforcement of the certification, may terminate the award for cause or default, or, when applicable, may take action authorized under the Drug-Free Workplace Act.

5. The applicant shall provide immediate written notice to the Endowment if at any time the applicant learns that its certifications were erroneous when submitted or have become erroneous by reason of changed circumstances.

6. The applicant agrees by submitting this proposal that, should the proposal be funded by the Endowment, it shall not knowingly enter into any project related transactions (as defined under "lower tier covered transactions") with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Endowment.

7. The applicant further agrees by submitting this proposal to include without modification the following clause in all lower tier covered transactions and in all solicitations for lower tier covered transactions: (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency. (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

8. A grantee may rely on the certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A grantee may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the list of "Parties Excluded from Nonprocurement Programs."

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except when specifically authorized by the Endowment, if a grantee knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to the remedies available to the federal government, the Endowment may terminate this transaction for cause or default.

11. The following definitions apply to the terms used in each of the certifications.

Definitions

Controlled Substance: A controlled substance in schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812) and as further defined by regulation at 21 CFR 1300.11 - 1300.15.

Covered Transaction: A covered transaction is either a primary covered transaction or a lower tier covered transaction.

Debarment: An action taken by a debarring official in accordance with 45 CFR Part 1169 to exclude a person from participating in covered transactions. A person so excluded is "debarred."

Delinquent: Represents the failure to pay an obligation or debt by the date specified in the agency's initial written notification or applicable contractual agreement, unless other satisfactory payment arrangements have been made by that date, or if at any time thereafter, the debtor fails to satisfy the obligation under a payment agreement with the agency. If the debtor fails to pay the debt by the specified date, then the debt is delinquent and the "date of delinquency" is the date given as the payment due date for contractual agreements or the date notification of the debt was mailed, as appropriate.

Federal Debt: The amount of money or property that has been determined by an appropriate agency official to be owed to the United States by any person, organization, or entity. Examples of debt include delinquent taxes, audit disallowances, guaranteed and direct student loans, housing loans, farm loans, business loans, Department of Education institutional loans, benefit overpayments, and other miscellaneous administrative debts.

Grantee: (in the drug-free workplace certification) A person who applies for or receives a grant directly from a federal agency.

Ineligible: Excluded from participation in federal nonprocurement programs pursuant to a determination of ineligibility under statutory, executive order, or regulatory authority, other than Executive Order 12549.

Lower Tier Covered Transaction: (a) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction. (b) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the federal procurement small purchase threshold fixed at 10 U.S.C. 2304(g) and 41 U.S.C. 253(g) (currently $25,000) under a primary covered transaction. (c) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount, under which that person will have a critical influence on or substantive control over that covered transaction. Such persons are project directors, principal investigators, and providers of federally-required audit services.

Participant: Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction. This term also includes any person who acts on behalf of or is authorized to commit a participant in a covered transaction as an agent or representative of another participant.

Person: Any individual, corporation, partnership, association, unit of government, or legal entity, however organized, except foreign governments or foreign governmental entities, public international organizations, or foreign government owned or controlled entities.

Primary Covered Transaction: This is normally any nonprocurement transaction between an agency and a person, regardless of type, including grants, cooperative agreements, scholarships, fellowships, contracts of assistance, loans, loan guarantees, subsidies, insurance, payments for specified use, donation agreements, and any other nonprocurement transaction between a federal agency and a person.

Principal: Officer, director, owner, partner, key employee, or other person within a participant with primary management or supervisory responsibilities; or a person who has critical influence on or substantive control over a covered transaction, whether or not employed by the participant.

Proposal: A solicited or unsolicited bid, application, request, invitation to consider, or similar communication by or on behalf of a person seeking to participate or to receive benefit, directly or indirectly, in or under a covered transaction.

Suspension: An action taken by a suspending official in accordance with these regulations that immediately excludes a person from participating in covered transactions for a temporary period, pending completion of an investigation and such legal, debarment, or Program Fraud Civil Remedies Act proceedings as may ensue.

Voluntarily Excluded: The status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

Certifications

1. Certification Regarding the Nondiscrimination Statutes

The applicant (other than an individual who submits an application to the Endowment) certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which

the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.), which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129)

The applicant certifies to the best of its knowledge and belief that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169)

The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988)

The grantee certifies that it will provide a drug-free workplace by (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions; (b) establishing a drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace, (2) the grantee's policy of maintaining a drug-free workplace, (3) any available drug counseling, rehabilitation, and employee assistance programs, and (4) the penalties that may be imposed on employees for drug abuse violations; (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a); (d) notifying the employee in the statement required by paragrapn (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement and (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace not later than five days after such conviction; (e) notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction; (f) taking one of the following actions with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination, or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency; and (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

Note

If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, the applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

E89-7

Division of Education Programs, Room 302
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
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